SUBMITTING RECORDS TO THE YMP-LBNL RECORDS PROCESSING CENTER

PROCEDURE ID: YMP-LBNL-QIP-17.0	REVISION: 1, MOD. 0	EFFECTIVE: 7/31/96

1. PURPOSE

This procedure describes the responsibilities and methodologies for originating and submitting quality assurance (QA) records to the Yucca Mountain Project - Lawrence Berkeley National Laboratory (YMP-LBNL) Records Processing Center.

2. SCOPE

This procedure applies to LBNL personnel and support participants (hereafter referred to as staff) who generate QA records in support of the Yucca Mountain Project while working under the YMP-LBNL QA Program.

3. PROCEDURE

3.1 Record Preparation

3.1.1 Documents, including those produced by suppliers, shall be prepared, by the Records Source, as records/records packages according to the guidelines in Appendix 1 of this procedure. Upon authentication (see section 3.2.4), QA documents shall be considered complete and be submitted individually or as a records package to the YMP-LBNL Records Processing Center within 20 working days.

3.1.2 Individual records may be submitted to the YMP-LBNL Records Processing Center if such records will never be part of a records package or if the Record Source wants to have the record entered immediately into the Civilian Radioactive Waste Management System (CRWMS) Management and Operating Contractor (M&O) records management operation (hereafter referred to as records management system).

3.1.3 Record Sources should submit records unbound or loose-leaf whenever possible.

3.2 Submitting Records to the YMP-LBNL Records Processing Center

Upon record completion, the Record Source shall review and submit a records package to the YMP-LBNL Record Processing Center. The Record Source shall follow the guidelines for Record Submittal in Appendix 2. The Record Source shall:

3.2.1 ensure that all records created are legible, reproducible, accurate, complete, appropriate to the work accomplished, and identifiable to the item(s) or activity(s) to which they apply by providing appropriate information on a Records Package Cover Sheet and attaching it to the record.

3.2.2 ensure that no recorded information is obliterated due to tearing, folding, etc. If portions of the record are obliterated and cannot be replaced, include a signed and dated memo that indicates the impact of the obliterated information on the technical meaning or content of the record;

3.2.3 ensure that all blank fields in forms contain information, or are marked "N/A" (not applicable) unless the Form or accompanying memo clearly states that only a portion of the record must be completed;

3.2.4 authenticate all QA records by either:

A. Signing or initialing and dating the document or

B. providing a statement of authenticity when the nature of the record precludes signing;

3.2.5 clearly label special QA records (for example oversized, one-of-a-kind, electronic, special-processed, etc.) to include as appropriate:

A. one of the following three QA record retention designators:

L for lifetime QA records; that is, implementing documents and/or documents which may be used in the licensing process, provide data input or evidence of the quality of data for construction or operation of the repository throughout its life, evidence of such data gathering activities, implementing documents and personnel training and qualification documents for QA activities;

N for non-permanent QA records; that is, documents of historical or administrative value but not important to the licensing, design, construction, and operation of the geological repository;

NA for documents that do not qualify as QA records.

B. the specific site-characterization-plan-baseline (SCPB), work breakdown structure (WBS) and document-identifier (DI) numbers;

C. record title(s) and creation date(s); and

D. other information about the applicability of the record;

3.2.6 create adequate documentation to accompany special records to permit servicing and interpretation of the contents. Records in machine readable formats shall be submitted according to the guidelines in Appendix 3.

3.3 LBNL Records Processing Center Receipt Acknowledgment, and Processing

Upon receiving a record/records package from a Record Source, the YMP-LBNL Records Processing Staff shall:

3.3.1 review the record/records package to ensure completeness and legibility and that the contents and number of pages match what is listed on the Records Package Cover Sheet, and

3.3.2 if the record/records package is acceptable, sign and date the Record Package Cover Sheet, send a copy to the record source and index the package per section 3.3.5 of this procedure, or submit the package to the M&O Records Processing Center for indexing, imaging, and permanent storage, or,

3.3.3 if the record/records package is unacceptable, write a memo stating the reasons why and what must be corrected or completed, then return the submitted record along with a copy of the memo to the Record Source for correction, and maintain the memo in a file pending return of the corrected record/records package.

3.3.4 maintain the status of all QA records during the receiving and indexing process by:

A. using the signed and dated copy of the Record Package Cover Sheet (see section 3.3.2) as a record/records package receipt acknowledgment;

B. logging all the accepted records/records packages into a computer logging system with a unique sequential number that identifies shall include: (a) file location, (b) retention classification, and (c) identification of the record, which may be the SCPB number, the WBS number, the activity number, or other information specific to identifying the record. Other information on the record log may include: record date, date received, YMP-LBNL identification number (if any), record identification number (if any), title or subject, Principal Investigator/author name and/or organization, recipient name and/or organization and other information specific to the record.

3.3.5 use the M&O record processing system to index records within the records management system.

3.3.6 maintain a list of all individuals who are authorized to have access to records in the Records Processing Center.

3.3.7 place records in binders, folders or envelopes for storage in steel cabinets or shelves appropriate for the record being stored.

3.4 Protection of Records

Upon receipt, the YMP-LBNL Records Processing Center shall ensure, through use of a dual storage system or 1 hour fire rated safe, that QA records are protected from deterioration, theft, sabotage, loss, or other damage and:

3.4.1 protect against moisture, heat sources, magnetic fields, etc.; and

3.4.2 store records-in-progress in lockable areas when unattended.

NOTE: Contact the Records Processing Staff for assistance with temporary storage.

3.5 Correcting Records

3.5.1 Corrections prior to submission to the YMP-LBNL Records Processing Center.

Records corrections shall be made by drawing a single line through the incorrect information, placing the correct information in close proximity, dating, and signing or initialing the change. Corrections shall be approved, or preferably made by the originating organization. If the organization that was originally responsible for approving a particular document is no longer responsible, the new responsible organization shall be identified. Corrections shall be made according to the guidelines in Appendix 4 for Correction of Records.

3.5.2 Corrections or supplements after imaging by the YMP-LBNL Records Processing Center.

Once a record has been imaged, the Record Source shall make corrections, supplements, or suppressions by submitting only the corrected pages and by including the following statement on the cover sheet:

"This is a correction, suppression, or supplement to Accession Number _____."

NOTE: YMP-LBNL Records Processing Staff can help you obtain the Accession and Image numbers.

Corrections shall be made according to the guidelines in Appendix 4 for Correction of Records.

3.6 Recovery of Lost or Damaged QA Records

3.6.1 If a QA record is lost or damaged, the Record Source shall recreate and submit it in accordance with sections 3.1 and 3.2; or

3.6.2 if a replacement record cannot be produced, the Record Source shall coordinate with the Principal Investigator, the Project Manager, and the QA Manager to evaluate the impact on the Project and initiate corrective action as appropriate.

3.6.3 if a non-QA record cannot be replaced, generate a memorandum that describes the impact of the lost or damaged record. Submit the memorandum to the YMP-LBNL Records Processing Center in place of the lost or damaged record.

3.7 Obtaining Copies of Records/Records Packages from the YMP-LBNL Records Processing Center

3.7.1 Individuals may request copies of records / records packages from the Records Processing Center by written, electronic, or verbal communication.

3.7.2 The YMP-LBNL Records Staff shall perform retrievals in a timely manner based on the value of the record or the nature of the request.

4. Records Management

4.1 Lifetime
Attachment 1; Records Package Cover Sheet.

4.2 Non-permanent
None.

4.3 Controlled Documents
None.

4.4 Records Center Documents
Records associated with this procedure shall be submitted to the YMP-LBNL Local Records Processing Center, in accordance with YMP-LBNL-QIP-17.0.

5. RESPONSIBILITIES

5.1 The **Record Source** is responsible for:

a) collecting records received and generated by YMP activities,

b) verifying that each record is legible, identifiable with the activity to which it relates, accurate, complete, reproducible and appropriate to the work accomplished,

c) correcting, protecting, preparing and_submitting records to the YMP-LBNL Records Processing Center in accordance with this procedure.

5.2 The **Quality Assurance (QA) Manager** is responsible for performing periodic surveys to assess the acceptable implementation of this procedure.

5.3 The **YMP-LBNL Records Processing Center Staff** is responsible for all activities in the Records Processing Center including, but not limited to receiving, reviewing, indexing and accessioning, and retrieving submitted records.

5.4 The **Principal Investigator** is responsible for:

a) ensuring that the Record Sources generating QA records are trained to this procedure,

b) ensuring that all appropriate records produced under his/her direction are in compliance with this procedure and submitted to the YMP-LBNL Records Processing Center,

c) assisting in the determination of the impact of lost or damaged records.

5.5 The **Project Manager** is responsible for helping to determine the impact of lost or damaged records.

5.6 **Staff Members** involved in any part of this procedure are responsible for turning over related documentation to the Principal Investigator.

6. ACRONYMS AND DEFINITIONS

6.1 Acronyms

None

6.2 Definitions

QA record - any recorded information (scientific and field notebooks, published papers, training documents, procedures, maps, photographs, machine-readable materials, or other documentary materials regardless of physical form or characteristics) that provides information of importance about the performance of the repository throughout its scheduled period of operation.

Record Completion - Final signature approval, by an appropriate manager, of a document.

Record Source - An individual or organization who is responsible or accountable for generating YMP-LBNL records or for receiving records from an outside entity.

Staff Member - Any scientist, engineer, research or technical associate, technician, or student research assistant performing scientific or quality affecting work.

YMP-LBNL Records Processing Center - The check point for record completeness for YMP-LBNL records. The YMP-LBNL Records Processing Center Staff ensure that YMP records meet the criteria of this procedure and are properly processed to assure traceability and retrievability.

7. REFERENCES

DOE/RW/0333P, Quality Assurance Requirements and Description (QARD), Section 17, "Quality Assurance Records"

8. ATTACHMENTS.

Attachment 1: Record Package Cover Sheet

9. REVISION HISTORY.

9/6/95 - Revision 0, Modification 1:
Modifications to include administrative refinement in identifying lifetime and non-permanent records

1/11/96 - Revision 0, Modification 2:
Modifications to include administrative refinement in identifying and describing the YMP-LBNL records logging system.

7/31/96 - Revision 1:
Revised procedure to reflect requirements changes in QARD, Rev. 5.

10. APPROVAL.

Preparer:	Date
Technical Reviewer:	Date
Technical Reviewer:	Date
QA Reviewer:	Date
Quality Assurance Manager:	Date
Project Manager:	Date

APPENDIX 1

RECORD PREPARATION

1. Prepare documents generated or received that will become QA records according to the following:

a) Clearly mark DRAFT on the first page of draft documents. Draft documents that become final documents shall be submitted with final documents within a records package. Draft documents that do not become final documents, due to either a decision not to finalize the document or the passage of a substantial period of time in which no action has been taken on the document, may be submitted as individual records.

b) Create record titles that concisely identify and describe the contents of the record in order to enable future identification, traceability to associate items and/or activities, and timely retrieval.

c) Verify that no portions of a page are missing due to tearing folding etc. of record edges, and that no information is obliterated. When parts of a QA record are intentionally obliterated, a statement signed and dated by the appropriate Record Source shall be included with the QA record that indicates that the obliterated information does not impact the technical meaning or content of the record.

d) Identify privileged records, i.e., any records to which access is controlled due to statutory, legal, or security requirements. Ensure that they are clearly labeled as privileged records.

e) Record data and drawings in dark markings against a light background. Create blackline prints of a drawings as opposed to blueline prints or sepia copies, when possible. Submit only the white first page of "No Carbon Required" forms, or a photocopy.

f) Ensure that QA records/records packages contain all pages. All attachments shall be included with individual QA records unless the attachments or enclosures are identified as non-QA record material or are identified as having been previously processed into the records management system (identify accession number). The attachments shall also meet the requirements of this procedure.

g) Ensure that QA records contain all required information.

i) QA records generated by an affected organization shall have all blank lines and spaces accounted for in a manner that it is specific to the record in accordance with the governing procedure.

ii) Statements indicating that blank lines and spaces are intentional shall specify the pages of the affected blanks.

iii) QA records from outside entities will be attested to by the receiving affected organization that they are complete for the intended use.

NOTE: Forms may be designed in such a manner that it is clear that when a portion is left blank, it is not applicable to the activity.

h) Ensure that QA records/records packages are legible.

i) Ensure that records packages include a Table of Contents that lists the individual records (or groups of records) that constitute the packages, indicates the page counts for those records (or groups of records), and has been signed and dated. When known, Record Sources shall provide cross-references by listing related records/records packages (Study Plans, Job Packages, Test Planning Packages, etc.).

j) Place traceability designators (i.e. Data Tracking Number, Work Breakdown Structure number, Site Characterization Project Baseline number) on the front page of a QA record/records package table of contents and identify them as traceability designators based on the implementing procedures that describe them.

k) Place a designation of QA: L or N to classify QA records as lifetime or non-permanent, respectively, on the first page of individual QA records and on the first page of the Table of Contents of QA records packages. (Record package segments do not require a separate designation.)

NOTE: If it is determined in the appropriate procedures that records will be part of a records package, QA designation and traceability designators are not required on each record within the records package but shall appear on the Table of Contents as described above.

l) Ensure that QA records/records packages are authenticated by stamping, signing or initialing, and dating the first page of the record or the Table of Contents of the records package. Authentication may also take the form of a statement by the responsible individual or organization. Handwritten signatures are not required if the document is clearly identifiable in a statement by the reporting individual or organization. Once authenticated, such records are considered to be QA records and shall meet and be handled according to the requirements for QA records as outlined in this procedure. If the nature of the record (such as a magnetic or optical media) precludes stamping or signing, then a paper record shall be generated which references the record and is traceable to it and contains the authenticating signature.

2. Criteria for Machine-readable QA Records

a) Provide all information necessary to identify the record and enable the M&O Record Processing Center to preserve, access, and replicate the information submitted. Appendix 3, Guidelines for Submittal of QA Records in machine-readable formats, provides guidelines for the submittal of QA records in machine-readable formats.

b) QA records in machine-readable formats other than those defined in the guidelines provided in Appendix 3 may be accepted by the local records receiving organization pending consultation and approval by the Yucca Mountain Site Characterization Office (YMSCO) Records Manager. Exceptions to the labeling requirements in Appendix 3 shall be handled similarly.

APPENDIX 2

RECORD SUBMITTAL

1. General Requirements for Record Submittal

a) All individual records, records package segments, and records packages shall be submitted to the YMP-LBNL Record Processing Center using a Records Package Cover Sheet.

b) Submit individual non-QA records/records packages to the YMP-LBNL Records Processing Center no later than 20 working days after the date of completion or receipt, and submit individual QA records/records packages to the YMP-LBNL Records Processing Center no later than 20 working days after the records or records package have been authenticated. The YMP-LBNL Records Processing Center staff shall process all records received within three months of receipt.

c) Roll oversized documents (dimensions greater than 11 inches by 17 inches)

d) Hard copy records are the preferred media. Any other media (e.g., diskettes, microfiche, microfilm, or optical disk) requires special permission from the YMSCO prior to submittal.

e) QA records may be originals or copies.

2. Specific Requirements for Submitting Privileged Records

a) Each privileged record shall be identified as "PRIVILEGED" on the first page of either the individual record or the records package Table of Contents.

b) Submit privileged records or records packages on a separate Records Package Cover Sheet that identifies these records as PRIVILEGED.

3. Specific Requirements for Compiling Segments into a Records Package

For records package segments being safeguarded or held by the YMP-LBNL Records Processing Center, determine if the package is complete. If complete, review the segments to ensure all applicable requirements of this procedure have been met.

4. Specific Requirements for Submitting One-of-a-Kind Records

Notify the YMP-LBNL Records Processing Center by submitting documentation for one-of-a-kind records that are completed but still in use and being temporarily stored by the Record Source. If the record should be part of a records package, but is still in use, a complete description and the storage location of the record shall be provided to the YMP-LBNL Records Processing Center.

5. Specific Requirements for Submitting Special Processes Records

Two copies of special processed records (records that cannot be imaged but can be duplicated, such as magnetic tapes and negatives) shall be submitted to the YMP-LBNL Record Processing Center.

APPENDIX 3

GUIDELINES FOR SUBMITTAL OF QA RECORDS IN MACHINE-READABLE FORMATS

1. QA records submitted in machine-readable formats should include the following information:

a) Name / description or narrative of the information submitted.

b) Date the information was generated (MMDDYY).

c) Name of person(s) or organization(s) that generated the information.

d) Unique identifier for the information (e.g., serial and / or volume number).

e) Specifications of required playback software and / or equipment.

f) Any special instructions for playback or preservation.

2. Computer-generated QA records should include, on an external label, the following information for each volume:

a) Record length.

b) Block size (not necessary for PC DOS and PC Macintosh media).

c) List of files with the application software and / or compiler used to create the software.

d) Hardware and operating system requirements used to execute the software (with details regarding display, print, graphics, etc.).

e) Total number of bytes for each file.

f) Narrative description of subject matter of the executable software model; file layout; field names; field parameters; form of data (numeric, alphabetic, alphanumeric, packaged, decimal, etc.).

g) Data Dictionary for Data Base Management System, if one is used; relationship between data elements in the data base.

h) Instructions to identify and interpret codes in file data, if used.

i) Any other information concerning special requirements to playback, import / export, recompile, or preserve the record.

3. Inclusionary records in computer-generated formats should comply with the following criteria in order to support future playback, maintenance, and conversion:

a) Computer-generated records that are capable of duplication shall be duplicated or one machine-readable copy and one hard copy shall be created.

b) Computer-generated images of Inclusionary records should be captured on media such as 5 1/4-inch magneto/optical WORM (Write Once Read Many) disks, Bernoulli disks, or CD-ROM (Read Only Memory) disks.

c) Records submitted on tape or optical disk should include the information listed above (section 1.) separately; records submitted on tape should be in an ASCII format and they should include in a file named ReadMe the same information. Such tape records may exist as .5-inch, nine-track tape reels, .25-inch tape cassettes, 4 mm or 8 mm tape cassettes.

d) Records submitted on diskettes (5.25-inch or 3.5-inch) should be in PC DOS format.

e) Textual or graphic records (e.g., charts, diagrams, graphs) should be submitted with a hard-copy printout in addition to the magnetic medium.

f) Microforms and machine-readable images are not a preferred media for the submittal of records. Program requirements for accessioning and packaging records necessitate application of numbers and codes which are difficult with microforms and machine-readable images.

4. Records in audio media should be recorded at 3.75-inches or 7.5-inches per second on .25-inch open reel, full track, splice free, polyester magnetic tape stock. The tape should not have been used for previous recordings. The use of audio cassettes is discouraged because they are not sufficiently durable or reliable for long-term storage or use.

5. Records in video format should be recorded in industrial or professional format (1-inch or .75-inch).

APPENDIX 4

Correction of Records

1. General

a) This section pertains to QA records that have been authenticated and non-QA records that have been approved which need a change or correction.

b) Any correction or change of a QA record after authentication or a non-QA record after signature approval shall be approved by the originating organization or designee

2. Correcting QA Records/Records Packages Prior to Imaging

a) Changes/corrections to errors shall be made by drawing a single line through the changed/incorrect information and inserting the new information in close proximity along with the initials or signature of the Record Source or person authorized to make the change/correction and the date the change/correction was made.

NOTE: Insertions and enhancements (e.g., darkening faint, illegible characters) are considered changes and need to be dated and initialed. Markups on documents being reviewed for the purpose of providing comments are not considered changes and do not need to be dated and initialed.

b) To be accepted, records determined to be incomplete or illegible shall be corrected by the Record Source or authorized individual in one of the following ways:

i) transcribing, regenerating, or enhancing the illegible portion; or

ii) obtaining and submitting a new complete, legible record.

c) Records personnel may make administrative corrections (e.g., Table of Contents page count totals, correcting improper page numbering, etc.) by following 2a above.

3. Correcting QA Records/Records Packages Subsequent to Imaging

Whenever a correction or supplement is made to a records package, a new Table of Contents shall be created and authenticated by the originating organization. Only the new pages shall be listed on the Table of Contents and submitted to the YMP-LBNL Record Processing Center. The Table of Contents will contain the following statement: "This is a correction or supplement to accession number AAA.XXXXXX.XXXX."

QA records/records packages that have been imaged shall be corrected in one of the following ways:

a) If a correction or supplement to a portion of a previously processed individual record is required, only the corrected or supplemented item (page) shall be submitted. The accession number shall be identified (e.g., "Correction [or Supplement] to accession number AAA.XXXXXX.XXXX."). For QA records this statement shall be dated and shall have a re-authentication signature from the originating organization.

b) If an entire record/records package must be superseded, the entire new record/records package shall be submitted. The new record/records package shall identify the accession number of the record/records package it is superseding (e.g., "This record supersedes accession number AAA.XXXXXX.XXXX."). For QA records this statement shall be dated and shall have a re-authentication signature from the originating organization.

ATTACHMENT 1
RECORDS PACKAGE COVER SHEET

PROCEDURE ID: YMP-LBNL-QIP-17.0 | REVISION: 1 | EFFECTIVE: 7/31/96

Type of Record		Identification
ABS	Abstract or extended summary for publication	Retention = QA: _____ Enter "L" for Lifetime "N" for non-permanent "NA" for non-QA
DATA	Data (printouts, tables, etc.)	
LR	Letter Report (to DOE, supervisors, etc.)	
NTBK	Notebook (scientific or field notebooks)	
PUB	Publication (journal, conference proceedings, LBNL reports, etc.)	Document Identifier (DI) : LBNL- _____-_____-_____ (Type) (Initials) (Date)
Other:		WBS : _____ (Work Breakdown Structure)
_____	_____	SCPB: _____ (Site Characterization Plan)

Records package Title (mark "N/A" if only one record)**:**

List Individual Records

Record Date	Record Title	# of Pages

Total Number of Pages (including cover sheet) =

_____ _____
Authenticator's Signature Date

_____ _____
YMP-LBNL Rec. Proc. Cntr. Accept. Date YMP-LBNL Rec. Proc. Cntr. Representative's Signature